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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
(Docket No. 12778US03)

In the Application of:

Saliba

Serial No.: 10/786,196

Filed: February 25, 2004

For: Method and Apparatus for Stock and Index
Option Price Improvement, Participation, and
Internalization

Examiner: Jagdish N. Patel

Group Art Unit: 3624

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Joseph M. Butscher
Joseph M. Butscher
Reg. No. 48,326

Date: FEB 9, 2006

TRANSMITTAL

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sirs:

The Applicant is re-transmitting the Information Disclosure Statement (IDS) filed on September 9, 2004. A review of the Public PAIR system does not show that this IDS was filed on that date. The Applicant, however, has also enclosed the returned postcard from the PTO indicating that the PTO did, in fact, receive this IDS on September 13, 2004. The Applicant notes that the PTO erroneously filed this IDS in Application Serial No. 10/787,196, instead of the present application.

Date: Feb 9, 2006

Respectfully submitted,

Joseph M. Butscher
Joseph M. Butscher
Reg. No. 48,326
Attorney for Applicant



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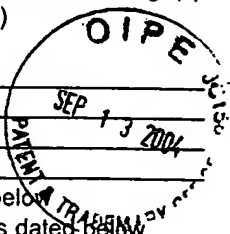
Docket No: 12778US03
Applicant: SALIBA
Serial No.: 10/786,196
Filed: 2-25-04

- ☐ Transmittal
☐ Fee \$
☐ Patent Application including:
 ☐ Page(s) Cover Sheet
 ☐ Page(s) Specification
 ☐ Page(s) Claims #
 ☐ Page(s) Abstract
 ☐ Page(s) Drawings Formal Informal
☐ Response to Notice of Missing Parts
☐ Declaration & POA Signed Unsigned
☐ Amendment Page(s)
☐ Assignment Page(s) Cover Sheet Page(s)
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Respectfully: **McANDREWS, HELD & MALLOY, LTD.**
Attorneys for Applicant



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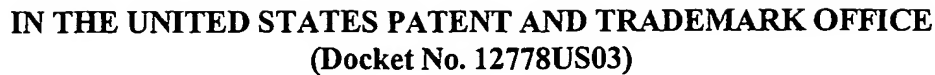
Docket No: 12778US03
Applicant: SALIBA
Serial No.: 10/786,196
Filed: 2-25-04

- ☐ Transmittal
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 ☐ Page(s) Cover Sheet
 ☐ Page(s) Specification
 ☐ Page(s) Claims #
 ☐ Page(s) Abstract
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Respectfully: **McANDREWS, HELD & MALLOY, LTD.**
Attorneys for Applicant
Joseph M. Butcher (MG)

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Group Art Unit: 3624

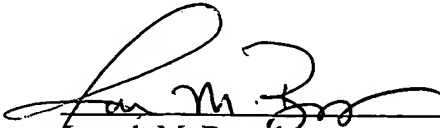
Date: September 9, 2004

Consideration of the references in the examination of the present patent application is respectfully requested.

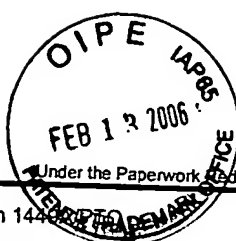
No fee is believed to be due because it is believed that this statement and enclosures are being filed before the first Office Action on the merits has been mailed by the PTO. Please charge any fees due in connection with this statement to the deposit account of McAndrews, Held & Malloy, Ltd., Account No. 13-0017.

Respectfully submitted,

Date: September 9, 2004



Joseph M. Butscher
Reg. No. 48,326



PTO/SB/08A (08-03)
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 1

Complete if Known

| | |
|------------------------|-------------------|
| Application Number | 10/786,196 |
| Filing Date | February 25, 2004 |
| First Named Inventor | Saliba |
| Group Art Unit | 3624 |
| Examiner Name | Patel |
| Attorney Docket Number | 12778US03 |

U.S. PATENT DOCUMENTS

| Examiner Initial* | Cite No. ¹ | Document Number | Publication Date MM-DD-YYYY | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|-------------------|-----------------------|---|--------------------------------|--|---|
| | | Number-Kind Code ² (if known) | | | |
| | A1 | 6,766,304 | 07-20-2004 | Kemp, II et al. | |
| | A2 | 6,772,132 | 08-03-2004 | Kemp, II et al. | |
| | A3 | 2003/0023542 | 01-30-2003 | Kemp, II et al. | |
| | A4 | | | | |
| | A5 | | | | |
| | A6 | | | | |
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FOREIGN PATENT DOCUMENTS

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OTHER ART -- NON PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published |
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| | A18 | |
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard St. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450 Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. Send TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. If you need assistance in completing the form, call 1-800-PTO-9199 (1800-786-9199) and select option 2.

Rev. Sept. 03

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